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PATENTS  
Attorney Docket No. CF/034

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Andrew C. Gilbert et al.  
Application No. : 10/047,607 Confirmation No. : 5741  
Filed : January 14, 2002  
For : SYSTEMS AND METHODS FOR ELECTRONIC  
TRADING THAT PERMIT PRINCIPAL/BROKER  
TRADING  
Group Art Unit 2164  
Examiner : Not Yet Assigned

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicant hereby makes the following documents of record in the above-identified patent application:

U.S. Patent Documents

Hawkins et al.	Pat. No. 6,029,146	February 22, 2000
Garcia	Pat. No. 6,272,474 B1	August 7, 2001
May	Pat. No. 6,317,727 B1	November 13, 2001
May	Pat. No. 6,421,653 B1	July 16, 2002

Wilton et al.

Pat. No. 6,519,574 B1

February 11, 2003

Foreign Patent Document

PCT Intl'l Pub.

WO 01/25996

April 12, 2001

Copies of the aforementioned references, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith. Applicants request that a copy of Form PTO-1449 (submitted in duplicate herewith), as considered and initialed by the Examiner, be returned with the next communication. Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

I hereby certify that this  
Correspondence is being  
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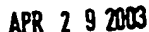
Apr. 124, 2003

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FORM PTO 1449

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**APPLICANTS**  
Andrew C. Gilbert et al.

CONFIRMATION  
NO. 5741

FILING DATE  
January 14, 2002

GROUP ART UNIT  
2164

[illegible]

FOREIGN PARENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 01/25996	04/12/2001	PCT	G06F 17	60		

[illegible]

DATE CONSIDERED

**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.